



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
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| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/771,151         | 01/26/2001          | Danilo D. Lasic       | 5325-0169.30           |

CONFIRMATION NO. 9729

## FORMALITIES LETTER



\*OC000000005879759\*

ALZA Corporation  
1900 Charleston Road, P.O. Box 7210  
M10-3  
Mountain View, CA 94039-7210

Date Mailed: 03/19/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

*A copy of this notice MUST be returned with the reply.*

Natalie Bopas  
Customer Service Center  
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

05/09/2001 MBERHE 00000049 011173 09771151

01 FC:105 130.00 CH



Please type a plus sign (+) inside this box →

Approved for use through 09/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE  
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PTO/SB/21 (6-98)

# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

Application Number

09/771,151

Filing Date

January 26, 2001

First Named Inventor

Danilo D. Lasic

Group Art Unit

1615

Examiner Name

Unknown

Attorney Docket Number

5325-0169.30

## ENCLOSURES (check all that apply)

|   |   |  |
|---|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form                                | <input type="checkbox"/> Assignment Papers (for an Application)                         | <input type="checkbox"/> After Allowance Communication to Group  |
| <input checked="" type="checkbox"/> Fee Attached  | <input type="checkbox"/> Drawing(s)   | <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  |
| <input type="checkbox"/> Amendment / Response   | <input type="checkbox"/> Licensing-related Papers                                       | <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)   |
| <input type="checkbox"/> After Final  | <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition    | <input type="checkbox"/> Proprietary Information   |
| <input type="checkbox"/> Affidavits/declaration(s)                                      | <input type="checkbox"/> Petition to Convert to a Provisional Application               | <input type="checkbox"/> Status Letter   |
| <input type="checkbox"/> Extension of Time Request                                      | <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address | <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):   |
| <input type="checkbox"/> Express Abandonment Request                                    | <input type="checkbox"/> Terminal Disclaimer  | <input type="checkbox"/> Declarations - signed Acknowledgement Postcard Certificate of Mailing First Class Part 2 Notice to File Missing Parts |
| <input type="checkbox"/> Information Disclosure Statement                               | <input type="checkbox"/> Small Entity Statement   |  |
| <input type="checkbox"/> Certified Copy of Priority Document(s)                         | <input type="checkbox"/> Request for Refund   |  |
| <input checked="" type="checkbox"/> Response to Missing Parts/ Incomplete Application   | <input type="checkbox"/> Remarks  |  |
| <input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 |   |  |

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

|                               |                                   |
|-------------------------------|-----------------------------------|
| Firm<br>or<br>Individual name | Paul B. Simboli; ALZA Corporation |
| Signature                     |                                   |
| Date                          | 01 MAY 2001                       |

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:  May 1, 2001

|                       |                        |
|-----------------------|------------------------|
| Typed or printed name | Katrina M. Ghafghaichi |
| Signature             |                        |
| Date                  | May 1, 2001            |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be send to the Chief Information Officer Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

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# FEE TRANSMITTAL

## for FY 2000

Patent fees are subject to annual revision.

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 CFR §§ 1.27 and 1.28.

TOTAL AMOUNT OF PAYMENT (\$ 130.00)

## Complete if Known

|                      |                  |
|----------------------|------------------|
| Application Number   | 09/771,151       |
| Filing Date          | January 26, 2001 |
| First Named Inventor | Danilo D. Lasic  |
| Examiner Name        | Unknown          |
| Group / Art Unit     | 1615             |
| Attorney Docket No.  | 5325-0169.30     |

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **01-1173**

Deposit Account Name \_\_\_\_\_

 Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

2.  Payment Enclosed:

 Check     Money Order     Other

## FEE CALCULATION

## 1. BASIC FILING FEE

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description        | Fee Paid |
|----------------------------|----------------------------|------------------------|----------|
| 101 690                    | 201 345                    | Utility filing fee     |          |
| 106 310                    | 206 155                    | Design filing fee      |          |
| 107 480                    | 207 240                    | Plant filing fee       |          |
| 108 690                    | 208 345                    | Reissue filing fee     |          |
| 114 150                    | 214 75                     | Provisional filing fee |          |

SUBTOTAL (1) (\$ 0.00)

## 2. EXTRA CLAIM FEES

|                    | Extra Claims                | Fee from below | Fee Paid |
|--------------------|-----------------------------|----------------|----------|
| Total Claims       | [ ] -20** = [ ] X [ ] = [ ] |                | = 0      |
| Independent Claims | [ ] - 3** = [ ] X [ ] = [ ] |                | = 0      |
| Multiple Dependent | [ ]                         |                | = 0      |

\*\* or number previously paid, if greater; For Reissues, see below

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description   |
|----------------------------|----------------------------|---|
| 103 18                     | 203 9                      | Claims in excess of 20                                    |
| 102 78                     | 202 39                     | Independent claims in excess of 3                         |
| 104 260                    | 204 130                    | Multiple dependent claim, if not paid                     |
| 109 78                     | 209 39                     | " Reissue independent claims over original patent         |
| 110 18                     | 210 9                      | " Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2) (\$)

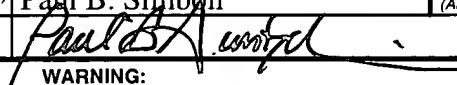
## 3. ADDITIONAL FEES

| Large Entity Fee Code (\$)                         | Small Entity Fee Code (\$) | Fee Description  | Fee Paid |
|--|----------------------------|--|----------|
| 105 130  | 205 65                     | Surcharge - late filing fee or oath  | 0.00     |
| 127 50   | 227 25                     | Surcharge - late provisional filing fee or cover sheet                     | 0.00     |
| 139 130  | 139 130                    | Non-English specification  | 0.00     |
| 147 2,520  | 147 2,520                  | For filing a request for reexamination                                     | 0.00     |
| 112 920*   | 112 920*                   | Requesting publication of SIR prior to Examiner action                     | 0.00     |
| 113 1,840*   | 113 1,840*                 | Requesting publication of SIR after Examiner action                        | 0.00     |
| 115 110  | 215 55                     | Extension for reply within first month                                     | 0.00     |
| 116 380  | 216 190                    | Extension for reply within second month                                    | 0.00     |
| 117 870  | 217 435                    | Extension for reply within third month                                     | 0.00     |
| 118 1,360  | 218 680                    | Extension for reply within fourth month                                    | 0.00     |
| 128 1,850  | 228 925                    | Extension for reply within fifth month                                     | 0.00     |
| 119 300  | 219 150                    | Notice of Appeal   | 0.00     |
| 120 300  | 220 150                    | Filing a brief in support of an appeal                                     | 0.00     |
| 121 260  | 221 130                    | Request for oral hearing   | 0.00     |
| 138 1,510  | 138 1,510                  | Petition to institute a public use proceeding                              | 0.00     |
| 140 110  | 240 55                     | Petition to revive - unavoidable   | 0.00     |
| 141 1,210  | 241 605                    | Petition to revive - unintentional   | 0.00     |
| 142 1,210  | 242 605                    | Utility issue fee (or reissue)   | 0.00     |
| 143 430  | 243 215                    | Design issue fee   | 0.00     |
| 144 580  | 244 290                    | Plant issue fee  | 0.00     |
| 122 130  | 122 130                    | Petitions to the Commissioner  | 0.00     |
| 123 50   | 123 50                     | Petitions related to provisional applications                              | 0.00     |
| 126 240  | 126 240                    | Submission of Information Disclosure Stmt                                  | 0.00     |
| 581 40   | 581 40                     | Recording each patent assignment per property (times number of properties) | 0.00     |
| 146 690  | 246 345                    | Filing a submission after final rejection (37 CFR § 1.129(a))              | 0.00     |
| 149 690  | 249 345                    | For each additional invention to be examined (37 CFR § 1.129(b))           | 0.00     |
| Other fee (specify) <b>Signing of Declarations</b> |                            |  | 130.00   |
| Other fee (specify) _____                          |                            |  | 0.00     |

Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 130.00)

## SUBMITTED BY

|                   |   |                                      |        |             |
|-------------------|---|--------------------------------------|--------|-------------|
| Name (Print/Type) | Paul B. Simbali   | Registration No.<br>(Attorney/Agent) | 38,616 | Telephone   |
| Signature         |  |                                      | Date   | 01 MAY 2001 |

## WARNING:

Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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Practitioner's Docket No. 5325-0169.30

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of: Lasic, Danilo D.; Abra, Robert M.; Barenholz, Yechezkel; and Peleg-Shulman, Tai  
Application No.: 09/771,151 Group No.: 1615  
Filed: 01/26/2001 Examiner: Unknown  
For: Liposomes Containing an Entrapped Compound in Supersaturated Solution

Assistant Commissioner for Patents  
Washington, D.C. 20231

CERTIFICATE OF MAILING UNDER 37 C.F.R. section 1.8(a)

I hereby certify that the attached correspondence comprising:

Signed Declarations by 4 inventors

is being deposited with the United States Postal Service, with sufficient postage, as first class mail in an envelope addressed to:

Assistant Commissioner for Patents  
Washington, D.C. 20231

Date: May 1, 2001

Name: Katrina M. Ghafghaichi

Katrina M. Ghafghaichi  
Signature of person mailing paper